

ORDER

Submitted By: William Cravens (On behalf of the arbitration panel)

Submitted Date: 02/13/2024 12:58:42 PM EST

Case ID & Parties:

FINRA Dispute Resolution Services

ORDER

Case Number: 23-00655

In the Matter of the Arbitration Between**Claimant(s)****VS****Respondent(s)**

Phillip Ainsworth

Spartan Capital Securities, LLC

Alexander Catto

Fred Weidner

Brian Campbell

Marion Rus

Steve Butz

Steven Krasne

Dwight Casey

Dennis Francy

David Falk

Guy Wood

PREHEARING CONFERENCE

1. Was a prehearing conference held in the above captioned matter?

☐ Yes

☒ **No**

ISSUES ADDRESSED

2. Issues addressed: (i.e., name of motion or request, by which party)

☒ **The following pleadings have been addressed:**

N/A

ORDER DECIDED BY

3. Decided by:

☒ **Chairperson**

☐ Panel

RULINGS

4. Rulings:

- **After considering the pleadings submitted by the parties (and oral arguments, if prehearing conference held), the Panel/Chairperson rules as follows:**

This case was submitted as an expedited hearing. Significant delays have occurred during the course of discovery and other matters. The panel wishes to bring this case to its logical conclusion however no movement has taken place for some time. The panel hereby orders all parties to provide it with evidence of ongoing activity that will move this case along so that a hearing can take place and that panel can properly rule on the issues. Parties should inform panel of their plan toward that end no later than 30 days from this order and submit mutually acceptable dates for a final hearing to FINRA.

5. Order compliance date:

- **The parties should comply with this order by 03/14/2024**
- Not applicable

ASSESSMENT OF FEES

6. Cost of prehearing conference:

- If the parties settle this matter with no further hearings, the forum fees for this prehearing conference (or discovery-related motion decided without a prehearing conference) are assessed as follows:

_____ % to Claimant(s), jointly and severally

_____ % to Respondent(s), jointly and severally

_____ % assessed to _____

_____ % assessed to _____

_____ % assessed to _____

_____ % assessed to _____

- **Not applicable**

ATTACHMENTS

There are no attached documents.